



2152
#3
11/16/07
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Royan H. Bartley et al. : Date: August 21, 2001
Group Art Unit: Unassigned : IBM Corporation
Examiner: Unassigned : Intellectual Property Law
Serial No.: 09/892,424 : Dept. 917, Bldg. 006-1
Filed: June 27, 2001 : 3605 Highway 52 North
Title: APPARATUS, METHOD, AND BUSINESS : Rochester, MN 55901-7829
METHOD FOR ENABLING CUSTOMER
ACCESS TO COMPUTER SYSTEM
PERFORMANCE DATA IN EXCHANGE
FOR SHARING THE PERFORMANCE
DATA

RECEIVED

AUG 28 2001

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with

Serial No. 09/892,424
Docket No. ROC920000298US1

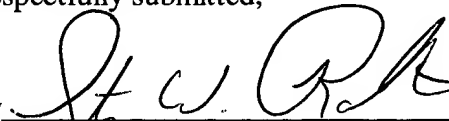
PATENT

37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(b)(1) within three months of the filing date of the present application. Accordingly no filing fee is required.

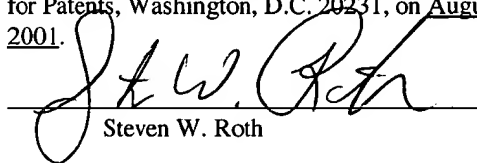
Date: August 21, 2001

Respectfully submitted,

By: 
Steven W. Roth, Attorney
Registration No. 34,712

**CERTIFICATE OF MAILING UNDER
37 C.F.R. 1.8(a)**

I hereby certify that the enclosed or attached correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on August 21, 2001.


Steven W. Roth

Telephone: (507) 253-1600
Fax: (507) 253-2382

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS
INFORMATION
DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.
ROC9200010298US1SERIAL NO.
09/892,424**RECEIVED**APPLICANT:
Royan H. Bartley et al.

AUG 28 2001

FILING DATE:
June 27, 2001GROUP:
Unassigned

Technology Center 2100

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE (IF APPRO.)
AA						
AB						
AC						
AD						
AE						
AF						
AG						
AH						
AI						
AJ						
AK						

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
					YES NO
AL					
AM					
AN					
AO					
AP					

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

AR	U.S. Patent Application, "Apparatus, Method, and Business Method for Enabling Customer Access to Computer System" ✓
	Execution Data in Exchange for Sharing the Execution Data," Serial No. 09/892,435, filed on June 27, 2001.
AS	U.S. Patent Application, "Method and Apparatus for Automating Software Upgrades," Serial No. 09/912,975, ✓
	filed on July 25, 2001.
AT	U.S. Patent Application, "Method and Apparatus Upgrade Assistance Using Critical Historical Product Information," ✓
	Serial No., 09/865,371, filed on May 25, 2001.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)

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ATTY. DOCKET NO.
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REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE (IF APPRO.)
BA						
BB						
BC						
BD						
BE						
BF						
BG						
BH						
BI						
BJ						
BK						

FOREIGN PATENT DOCUMENTS

FOREIGN TRAVEL DOCUMENTS														
		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
													YES	NO
	BL													
	BM													
	BN													
	BO													
	BP													

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

BR	U.S. Patent Application, "Physical Device Placement Assistant," Serial No. 09/865,798, filed on May 25, 2001.
BS	AS/400 Publication, "Performance Management/400 Offerings and Services, including Performance Management/400 - Subset," Version 3, SC41-0145-02, September 1994.
BT	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.